

Electronic Acknowledgement Receipt	
EFS ID:	5245299
Application Number:	10627646
International Application Number:	
Confirmation Number:	3617
Title of Invention:	Method and apparatus for enabling individual or smaller investors or others to create and manage a portfolio of securities or other assets or liabilities on a cost effective basis
First Named Inventor/Applicant Name:	Steven M.H. Wallman
Correspondence Address:	Bradley J. Meier KENYON & KENYON Suite 700 1500 K Street, N.W. Washington DC 20005 US 2022204200 -
Filer:	Shawn W. Odowd/Charisma Ward
Filer Authorized By:	Shawn W. Odowd
Attorney Docket Number:	10392-460042
Receipt Date:	29-APR-2009
Filing Date:	28-JUL-2003
Time Stamp:	17:31:18
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	\$ 840

RAM confirmation Number		3822			
Deposit Account		110600			
Authorized User					
File Listing:					
Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Terminal Disclaimer Filed	TerminalDisclaimer01.pdf	353374	no	2
			693cda284e478957d21b381c6eb0b9a2249f55a5		
Warnings:					
Information:					
2	Terminal Disclaimer Filed	TerminalDisclaimer02.pdf	353514	no	2
			d215a7a7b193d680d5e057c54a4f76825abb0bcc		
Warnings:					
Information:					
3	Terminal Disclaimer Filed	TerminalDisclaimer03.pdf	353654	no	2
			9bd4f19c42696563d73ea842291158deb18aab44		
Warnings:					
Information:					
4	Terminal Disclaimer Filed	TerminalDisclaimer04.pdf	365869	no	2
			cc5648bb87fe435a7980ef3e5861ccb425b2c6c5		
Warnings:					
Information:					
5	Terminal Disclaimer Filed	TerminalDisclaimer05.pdf	365927	no	2
			0c838e353a8c8e07c7375a4cf0f9cd1d4c25064f		
Warnings:					
Information:					
6	Terminal Disclaimer Filed	TerminalDisclaimer06.pdf	366067	no	2
			7be3faf270503faf985183365b38bd32850eb9ff		
Warnings:					
Information:					
7		ResponsetoOA01.pdf	99616	yes	8
			5b1707c9750e27e1ada17224f669bce212522c6		
	Multipart Description/PDF files in .zip description				
	Document Description		Start	End	
	Amendment/Req. Reconsideration-After Non-Final Reject		1	1	

	Claims	2	5
	Applicant Arguments/Remarks Made in an Amendment	6	8

**Warnings:**

**Information:**

8	Fee Worksheet (PTO-875)	fee-info.pdf	30135	no	2
			129a273ce2ad27d76a6ae9a8f4229e29ed6fffc9		

**Warnings:**

**Information:**

<b>Total Files Size (in bytes):</b>		2288156
-------------------------------------	--	---------

**This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.**

**New Applications Under 35 U.S.C. 111**

**If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.**

**National Stage of an International Application under 35 U.S.C. 371**

**If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.**

**New International Application Filed with the USPTO as a Receiving Office**

**If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.**